

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Mitsuteru KATAOKA : **Mail Stop: PCT**
Serial No. NEW : Attorney Docket No. 2004-1421A
Filed September 10, 2004 :
SPECULATIVE RECORDING DEVICE
[Corresponding to PCT/JP03/06313
Filed May 21, 2003]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicant requests consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication (*for U.S. National applications filed after June 30, 2003 and International applications that have entered U.S. National Stage after June 30, 2003*),
- ☐ each reference previously cited in the international application PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No. _____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

ATTACHMENT D

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☒ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference: JP 2002-218363 corresponds to US 2002/0100047 and JP 2002-101391 corresponds to US 2002/0031327
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Mitsuteru KATAOKA

By 

Nils E. Pedersen

Registration No. 33,145

Attorney for Applicant

NEP/krp
Washington, D.C. 20006-1021
Telephone (202) 721-8200
Facsimile (202) 721-8250
September 10, 2004

Sheet 1 of 1

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: September 10, 2004

ATTY DOCKET NO.
2004-1421ASERIAL NO.
NEW

10/507186

APPLICANT
Mitsuteru KATAOKAFILING DATE
September 10, 2004

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2002/0100047	7/2002	Hiroshi Matoba et al.			
	AB	2002/0031327	3/2002	June Watanabe et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AC	2003-189214	7/2003	JP			abstract	
	AD	2003-163847	6/2003	JP			abstract	
	AE	2002-354391	12/2002	JP			abstract	
	AF	2002-218363	8/2002	JP			abstract	
	AG	2001-169235	6/2001	JP			abstract	
	AH	2001-69415	3/2001	JP			abstract	
	AI	2002-101391	4/2002	JP			abstract	
	AJ	2001-292422	10/2001	JP			abstract	
	AK	2001-283525	10/2001	JP			abstract	
	AL	2001-268488	9/2001	JP			abstract	
	AM	2002-112186	4/2002	JP			abstract	
	AN	2000-13708	1/2000	JP			abstract	
	AO	2001-209660	8/2001	JP			abstract	
	AP	2002-77755	3/2002	JP			abstract	

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	
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EXAMINER

DATE CONSIDERED